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PATENT APPLICATION SERIAL NO. _____

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE
FEE RECORD SHEET

07/23/2003 HDEMESS1 00000022 033125 10623442

01 FC:1001		750.00 OP
02 FC:1201		168.00 OP
03 FC:1202		108.00 OP
04 FC:1203	72.00 DA	208.00 OP

Repln. Ref: 09/11/2003 EEKUBAY1 0012430200
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07/23/2003 HDEMESS1 00000022 033125 10623442
01 FC:1001 -750.00 OP
02 FC:1201 -168.00 OP
03 FC:1202 -108.00 OP
04 FC:1203 72.00 CR -208.00 OP

09/11/2003 EEKUBAY1 00000011 10623442

01 FC:2001	375.00 OP
02 FC:2201	84.00 OP
03 FC:2202	54.00 OP
04 FC:2203	140.00 OP

PTO-1556
(5/87)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Tae Wan Kim and Kwang Mook Jung
Serial No.: 10/623,442
Filed : July 18, 2003
For : CD44 RELATED FRAGMENTS, COMPOSITIONS AND
METHODS

1185 Avenue of the Americas
New York, New York 10036
August 26, 2003

Mail Stop: 16
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

**TRANSMITTAL OF VERIFIED STATEMENT
(DECLARATION) CLAIMING SMALL ENTITY STATUS UNDER
37 C.F.R. §1.9(f) AND §1.27(d) AND REQUEST FOR REFUND**

US PATENT & TRADEMARK
OFFICE

A filing fee of \$750.00 was originally paid in connection with the filing of the above-identified patent application on July 18, 2003. The corresponding fee for a small entity is \$375.00. The deadline for making a request for refund is three months after the July 18, 2003 filing date, i.e. October 18, 2003. Accordingly, this Transmittal is being timely filed. All rights in the United States under this application are either assigned or licensed to a small entity and this request is being timely made. A refund in the amount of \$375.00 is hereby requested pursuant to 37 C.F.R. §1.28(a) and §1.26. This refund should be credited to Deposit Account No. 03-3125 under Docket No. 66195.

In support of this request for a refund, applicant submits herewith as **Exhibit 1** a Verified Statement (Declaration) Claiming Small Entity Status under 37 C.F.R. §1.9(f) and §1.27(d) signed by Scot G. Hamilton, an authorized official of the entity having rights in the above-identified application, namely, The Trustees of Columbia University in the City of New York.

Applicants: Tae Wan Kim and Kwang Mook Jung
Serial No: 10/623,442
Filed: July 18, 2003
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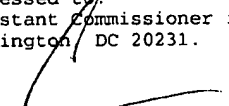
No fee is deemed necessary in connection with the filing of this Transmittal. However, if any fee is required, authorization is hereby given to charge the amount of such fee to Deposit Account No. 03-3125.

Respectfully submitted,



John P. White
Registration No. 28,678
Alan J. Morrison
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I hereby certify that this correspondence is being deposited this date with the U.S. Postal Service with sufficient postage as first class mail in an envelope addressed to:
Assistant Commissioner for Patents
Washington DC 20231.


Alan J. Morrison
Reg. No. 37,399

8/26/03
Date

Applicant or Patentee: Tae Wan Kim and Kwang Mook Jung Attorney's 66195/JPW/AJM
Serial or Patent No.: 10/623,442 Docket No: NFM
Filed or Issued: July 18, 2003
Title of Invention or Patent: CD44 RELATED FRAGMENTS, COMPOSITIONS AND METHODS

VERIFIED STATEMENT (DECLARATION) CLAIMING
SMALL ENTITY STATUS UNDER 37 C.F.R. §1.9(f)
AND §1.27(d) - NONPROFIT ORGANIZATION

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

Name of Organization: The Trustees of Columbia University
in the City of New York
Address of Organization: Broadway and West 116th Street
New York, NY 10027

TYPE OF ORGANIZATION:

☒ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION
TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE 26 U.S.C. §§501(a) and
501(c)(3)
NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED
STATES OF AMERICA
NAME OF STATE: _____
CITATION OF STATUTE: _____
☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE 26 U.S.C.
§§501(a) and 501(c)(3) IF LOCATED IN THE UNITED STATES OF AMERICA
☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE
OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA
NAME OF STATE: _____
CITATION OF STATUTE: _____

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 C.F.R. §1.9(e)* for purposes of paying reduced fees under 35 U.S.C. §41(a) and 41(b), with regard to the invention entitled
CD44 RELATED FRAGMENTS, COMPOSITIONS AND METHODS

by inventor(s) Tae Wan Kim and Kwang Mook Jung
described in:

☒ the specification filed herewith
application serial no. 10/623,442 filed July 18, 2003
☐ patent no. _____ issued _____

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above identified invention.

If the rights held by the nonprofit organization are not exclusive each individual, concern, or organization known to have rights to the invention is listed below^a and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 C.F.R. §1.9(d)* or a nonprofit organization under 37 C.F.R. 1.9(e)*

^a NOTE: Separate verified statements are required from each person, concern, or organization having rights to the invention averring to their status as small entities. 37 C.F.R. §1.27.

Name: _____
Address: _____

Individual _____ Small Business Concern _____ Nonprofit Organization _____

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. 37 C.F.R. §1.28(b)*.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. §1001, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Name of Person Signing: Michael J. Cleare, Ph.D.
Title In Organization: Executive Director
Address: The Trustees of Columbia University in the City of New York
Engineering Terrace-Suite 363, Amsterdam Ave. & West 120th St., NY, NY 10027
Signature: *Scot G. Hamilton*
Date Of Signature: 8/21/03

SCOT G. HAMILTON
SENIOR DIRECTOR
SCIENCE & TECHNOLOGY VENTURES

SCOT G. HAMILTON
SENIOR DIRECTOR
SCIENCE & TECHNOLOGY VENTURES